

10-19-01

PTO/SB/05 (08-00)

 10/17/01  
 09/981388  
 11036 U.S. PTO
Please type a plus sign (+) inside this box → ☐Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office, U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.52(b))

Attorney Docket No.

JAMES-014B

First Inventor

Wayne John Harrison

Title

IMPROVEMENTS IN OR RELATING TO CONTAINERS

Express Mail Label No.

EL 873335421 US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO:

Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB17)
2. ☒ Applicant claims small entity status.
3. ☒ Specification [Total Pages 14]  
(preferred arrangement set forth below)  
-Descriptive title of the invention  
-Cross Reference to Related Applications  
-Statement Regarding Fed sponsored R &  
-Reference to sequence listing, a table, or  
a computer program listing appendix  
-Background of the Invention  
-Brief Summary of the Invention  
-Brief Description of the Drawings (if filed) 37 CFR 3.73(b)  
-Detailed Description  
-Claim(s)  
-Abstract of the Disclosure Copies of IDS Citations
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 1]
5. ☐ Oath or Declaration [Total Pages     ]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or C-R in duplicate, large table or  
Computer Program (Appendix)
8. ☐ Nucleotide and/or Amino Acid Sequence Submission  
See 37 CFR 1.27 (if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies  
a computer program listing appendix

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS  
Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Other: \_\_\_\_\_

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation    ☐ Divisional    ☐ Continuation-in-part of prior application No.: \_\_\_\_\_ / \_\_\_\_\_

Prior application information:

Examiner \_\_\_\_\_

Group/Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label 007663 or \_\_\_\_\_ Customer address below

Name

Address

City

State

Zip Code

Country

Name (Print/Type)

Mark B. Garred

Registration No. (Attorney/Agent)

34,823

Signature

Date: 10/17/01

† SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231

<h2 style="margin: 0;">FEE TRANSMITTAL</h2> <h3 style="margin: 0;">for FY 2002</h3> <p style="margin: 5px 0;">Patent fees are subject to annual revision.</p>		<b>Complete if Known</b>	
		Application Number	Unknown
		Filing Date	Herewith
		First Named Inventor	Wayne John Harrison
		Examiner Name	Unknown
		Group Art Unit	Unknown
<b>TOTAL AMOUNT OF PAYMENT</b>		(\$) <u>370.00</u>	
		Attorney Docket No.	JAMES-014B

METHOD OF PAYMENT	FEE CALCULATION (continued)																																																																																																																										
<p>1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:</p> <p>Deposit Account Number <u>19-4330</u></p> <p>Deposit Account Name <u>Stetina Brunda</u></p> <p>X Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17 X Applicant claims small entity status. See 37 CFR 1.27</p> <p>2. <input checked="" type="checkbox"/> <b>Payment Enclosed:</b></p> <p>X Check    <input type="checkbox"/> Credit card    <input type="checkbox"/> Money Order    <input type="checkbox"/> Other</p>	<p><b>3. ADDITIONAL FEES</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105 130</td><td>205 65</td><td>Surcharge - late filing fee or oath</td><td></td></tr> <tr><td>127 50</td><td>227 25</td><td>Surcharge -late provisional filing fee or cover sheet</td><td></td></tr> <tr><td>139 130</td><td>139 130</td><td>Non-English specification</td><td></td></tr> <tr><td>147 2,520</td><td>147 2,520</td><td>For filing a request for ex parte reexamination</td><td></td></tr> <tr><td>112 920*</td><td>112 920*</td><td>Requesting publication of SIR prior to Examiner action</td><td></td></tr> <tr><td>113 1,840*</td><td>113 1,840*</td><td>Requesting publication of SIR after Examiner action</td><td></td></tr> <tr><td>115 110</td><td>215 55</td><td>Extension for reply within first month</td><td></td></tr> <tr><td>116 400</td><td>216 200</td><td>Extension for reply within second month</td><td></td></tr> <tr><td>117 920</td><td>217 460</td><td>Extension for reply within third month</td><td></td></tr> <tr><td>118 1,440</td><td>218 720</td><td>Extension for reply within fourth month</td><td></td></tr> <tr><td>128 1,960</td><td>228 980</td><td>Extension for reply within fifty month</td><td></td></tr> <tr><td>119 310</td><td>219 155</td><td>Notice of Appeal</td><td></td></tr> <tr><td>120 310</td><td>220 155</td><td>Filing a brief in support of an appeal</td><td></td></tr> <tr><td>121 270</td><td>221 135</td><td>Request for oral hearing</td><td></td></tr> <tr><td>138 1,510</td><td>138 1,510</td><td>Petition to institute a public use proceeding</td><td></td></tr> <tr><td>140 110</td><td>240 55</td><td>Petition to revive-unavoidable</td><td></td></tr> <tr><td>141 1,240</td><td>241 620</td><td>Petition to revive-unintentional</td><td></td></tr> <tr><td>142 1,240</td><td>242 620</td><td>Utility issue fee (or reissue)</td><td></td></tr> <tr><td>143 440</td><td>243 220</td><td>Design issue fee</td><td></td></tr> <tr><td>144 600</td><td>244 300</td><td>Plant issue fee</td><td></td></tr> <tr><td>122 130</td><td>122 130</td><td>Petitions to the Commissioner</td><td></td></tr> <tr><td>123 50</td><td>123 50</td><td>Petitions related to provisional applications</td><td></td></tr> <tr><td>126 180</td><td>126 180</td><td>Submission of Information Disclosure Statement</td><td></td></tr> <tr><td>581 40</td><td>5 81 40</td><td>Recording each patent assignment per property (times number of properties)</td><td></td></tr> <tr><td>146 710</td><td>246 355</td><td>Filing a submission after final rejection (37 CFR § 1.129(a))</td><td></td></tr> <tr><td>149 710</td><td>249 355</td><td>For each additional invention to be examined</td><td></td></tr> <tr><td>179 710</td><td>279 355</td><td>Request for Continued Examination (RCE)</td><td></td></tr> <tr><td>169 900</td><td>169 900</td><td>Request for expedited examination of a design application</td><td></td></tr> <tr><td colspan="4">Other fee (specify) _____</td></tr> <tr> <td colspan="2" style="text-align: right;">           * Reduced by Basic Filing Fee Paid    <b>SUBTOTAL (3)</b>    \$ _____         </td> </tr> </tbody> </table>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	105 130	205 65	Surcharge - late filing fee or oath		127 50	227 25	Surcharge -late provisional filing fee or cover sheet		139 130	139 130	Non-English specification		147 2,520	147 2,520	For filing a request for ex parte reexamination		112 920*	112 920*	Requesting publication of SIR prior to Examiner action		113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action		115 110	215 55	Extension for reply within first month		116 400	216 200	Extension for reply within second month		117 920	217 460	Extension for reply within third month		118 1,440	218 720	Extension for reply within fourth month		128 1,960	228 980	Extension for reply within fifty month		119 310	219 155	Notice of Appeal		120 310	220 155	Filing a brief in support of an appeal		121 270	221 135	Request for oral hearing		138 1,510	138 1,510	Petition to institute a public use proceeding		140 110	240 55	Petition to revive-unavoidable		141 1,240	241 620	Petition to revive-unintentional		142 1,240	242 620	Utility issue fee (or reissue)		143 440	243 220	Design issue fee		144 600	244 300	Plant issue fee		122 130	122 130	Petitions to the Commissioner		123 50	123 50	Petitions related to provisional applications		126 180	126 180	Submission of Information Disclosure Statement		581 40	5 81 40	Recording each patent assignment per property (times number of properties)		146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))		149 710	249 355	For each additional invention to be examined		179 710	279 355	Request for Continued Examination (RCE)		169 900	169 900	Request for expedited examination of a design application		Other fee (specify) _____				* Reduced by Basic Filing Fee Paid <b>SUBTOTAL (3)</b> \$ _____	
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																								
105 130	205 65	Surcharge - late filing fee or oath																																																																																																																									
127 50	227 25	Surcharge -late provisional filing fee or cover sheet																																																																																																																									
139 130	139 130	Non-English specification																																																																																																																									
147 2,520	147 2,520	For filing a request for ex parte reexamination																																																																																																																									
112 920*	112 920*	Requesting publication of SIR prior to Examiner action																																																																																																																									
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action																																																																																																																									
115 110	215 55	Extension for reply within first month																																																																																																																									
116 400	216 200	Extension for reply within second month																																																																																																																									
117 920	217 460	Extension for reply within third month																																																																																																																									
118 1,440	218 720	Extension for reply within fourth month																																																																																																																									
128 1,960	228 980	Extension for reply within fifty month																																																																																																																									
119 310	219 155	Notice of Appeal																																																																																																																									
120 310	220 155	Filing a brief in support of an appeal																																																																																																																									
121 270	221 135	Request for oral hearing																																																																																																																									
138 1,510	138 1,510	Petition to institute a public use proceeding																																																																																																																									
140 110	240 55	Petition to revive-unavoidable																																																																																																																									
141 1,240	241 620	Petition to revive-unintentional																																																																																																																									
142 1,240	242 620	Utility issue fee (or reissue)																																																																																																																									
143 440	243 220	Design issue fee																																																																																																																									
144 600	244 300	Plant issue fee																																																																																																																									
122 130	122 130	Petitions to the Commissioner																																																																																																																									
123 50	123 50	Petitions related to provisional applications																																																																																																																									
126 180	126 180	Submission of Information Disclosure Statement																																																																																																																									
581 40	5 81 40	Recording each patent assignment per property (times number of properties)																																																																																																																									
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))																																																																																																																									
149 710	249 355	For each additional invention to be examined																																																																																																																									
179 710	279 355	Request for Continued Examination (RCE)																																																																																																																									
169 900	169 900	Request for expedited examination of a design application																																																																																																																									
Other fee (specify) _____																																																																																																																											
* Reduced by Basic Filing Fee Paid <b>SUBTOTAL (3)</b> \$ _____																																																																																																																											
<p style="text-align: center;"><b>FEE CALCULATION</b></p> <p><b>1. BASIC FILING FEE</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>101 740</td><td>201 370</td><td>Utility Filing fee</td><td><u>370.00</u></td></tr> <tr><td>106 330</td><td>206 165</td><td>Design Filing fee</td><td></td></tr> <tr><td>107 510</td><td>207 255</td><td>Plant Filing fee</td><td></td></tr> <tr><td>108 740</td><td>208 370</td><td>Reissue Filing fee</td><td></td></tr> <tr><td>114 160</td><td>214 805</td><td>Provisional Filing fee</td><td></td></tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (1)</b></td> <td><b>\$ <u>370.00</u></b></td> </tr> </tbody> </table> <p><b>2. EXTRA CLAIM FEES</b></p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Extra Claims</th> <th>Fee from below</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr> <td>Total Claims _____ - 20** = _____ X _____ = _____</td> <td></td> <td></td> </tr> <tr> <td>Independent Claims _____ - 3 = _____ X _____ = _____</td> <td></td> <td></td> </tr> <tr> <td>Multiple Dependent _____ = _____ = _____</td> <td></td> <td></td> </tr> </tbody> </table> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th>Large Entity Fee Code (\$)</th> <th>Small Entity Fee Code (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>103 18</td><td>203 9</td><td>Claims in excess of 20</td><td></td></tr> <tr><td>102 84</td><td>202 42</td><td>Independent claims in excess of 3</td><td></td></tr> <tr><td>104 280</td><td>204 140</td><td></td><td></td></tr> <tr><td>109 80</td><td>209 40</td><td></td><td></td></tr> <tr><td>110 18</td><td>210 9</td><td></td><td></td></tr> <tr> <td colspan="3" style="text-align: right;"><b>SUBTOTAL (2)</b></td> <td><b>\$ _____</b></td> </tr> </tbody> </table> <p>**or number previously paid, if greater; For Reissues, see above</p>	Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	101 740	201 370	Utility Filing fee	<u>370.00</u>	106 330	206 165	Design Filing fee		107 510	207 255	Plant Filing fee		108 740	208 370	Reissue Filing fee		114 160	214 805	Provisional Filing fee		<b>SUBTOTAL (1)</b>			<b>\$ <u>370.00</u></b>	Extra Claims	Fee from below	Fee Paid	Total Claims _____ - 20** = _____ X _____ = _____			Independent Claims _____ - 3 = _____ X _____ = _____			Multiple Dependent _____ = _____ = _____			Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid	103 18	203 9	Claims in excess of 20		102 84	202 42	Independent claims in excess of 3		104 280	204 140			109 80	209 40			110 18	210 9			<b>SUBTOTAL (2)</b>			<b>\$ _____</b>																																																							
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																								
101 740	201 370	Utility Filing fee	<u>370.00</u>																																																																																																																								
106 330	206 165	Design Filing fee																																																																																																																									
107 510	207 255	Plant Filing fee																																																																																																																									
108 740	208 370	Reissue Filing fee																																																																																																																									
114 160	214 805	Provisional Filing fee																																																																																																																									
<b>SUBTOTAL (1)</b>			<b>\$ <u>370.00</u></b>																																																																																																																								
Extra Claims	Fee from below	Fee Paid																																																																																																																									
Total Claims _____ - 20** = _____ X _____ = _____																																																																																																																											
Independent Claims _____ - 3 = _____ X _____ = _____																																																																																																																											
Multiple Dependent _____ = _____ = _____																																																																																																																											
Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid																																																																																																																								
103 18	203 9	Claims in excess of 20																																																																																																																									
102 84	202 42	Independent claims in excess of 3																																																																																																																									
104 280	204 140																																																																																																																										
109 80	209 40																																																																																																																										
110 18	210 9																																																																																																																										
<b>SUBTOTAL (2)</b>			<b>\$ _____</b>																																																																																																																								

<b>SUBMITTED BY:</b>		<b>Complete (if applicable)</b>	
Name (Print/Type)	Mark B. Garred	Registration No. (Attorney/Agent)	34,823
Signature		Telephone	(949) 855-1246
		Date	10/17/01

**WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

SEND TO: Assistant Commissioner for Patents, Washington, D.C. 20231

Certificate of Mailing under 37 CFR 1.8 or 37 CFR 1.10

- ☐ I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to:
- ☒ I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10, Express Mail No. EL 873335421 US addressed to:  
Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

on October 17, 2001  
(Date)

  
\_\_\_\_\_  
Signature

Kristin Stenberg  
Typed or printed name of person signing Certificate

Note: Each paper must have its own certificate of mailing, or this certificate must identify each submitted paper.

1. Utility Patent Application Transmittal;
2. Fee Transmittal (in duplicate);
3. Specification (14 pages);
4. Drawings;
5. Application Data Sheet;
6. Check for \$370.00; and
7. Return Receipt Postcard